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TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

10/23/00

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Under the Paperwork Reduction Act UTILITY Attorney Docket No. First Inventor PATENT APPLICATION

101900 David G. Boyers et al. Method and Apparatus for Treating a Substrate With An Title Ozone-Solvent Solution Express Mail Label No. EK 798 663 677 US

Assistant Commissioner for Patents APPLICATION ELEMENTS ADDRESS TO: Box Patent Application See MPEP chapter 600 concerning utility patent application contents. Washington, DC 20231 CD-ROM or CD-R in duplicate, large table or Computer Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing) Program (Appendix) Nucleotide and/or Amino Acid Sequence Submission Applicant claims small entity status. (if applicable, all necessary) See 37 CFR 1.27. Computer Readable Copy (CRF) Specification [Total Pages b. Specification Sequence Listing on: (preferred arrangement set forth below) i CD-ROM or CD-R (2 copies); or Descriptive title of the Invention Cross References to Related Applications Statement Regarding Fed sponsored R & D Reference to sequence listing, a table, Statement verifying identity of above copies or a computer program listing appendix Background of the Invention **ACCOMPANYING APPLICATION PARTS** Brief Summary of the Invention Brief Description of the Drawings (if filed) Detailed Description 9. Assignment Papers (cover sheet & document(s)) Claim(s) Abstract of the Disclosure 37 C.F.R. §3.73(b) Statement Power of Attorney Drawing(s) (35 U.S.C. 113) (when there is an assignee) [Total Sheets J English Translation Document (if applicable) 5. Oath or Declaration [Total Pages 12 Information Disclosure Copies of IDS Citations Statement (IDS)/PTO-1449 Newly executed (original or copy) **Preliminary Amendment** Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) Return Receipt Postcard (MPEP 503) DELETION OF INVENTOR(S) i. (Should be specifically itemized) Signed statement attached deleting Certified copy of Priority Document(s) (if foreign priority is claimed) inventor(s) named in the prior application, small entity Verilication see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). Other: Application Data Sheet. See 37 CFR 1.76. 6. Other: If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: Claims priority to Provisional application No.: 60 / 160,435 filed October 19, 1999 Continuation Divisional Prior application information: Examiner: Group Art Unit: For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts. 18. CORRESPONDENCE ADDRESS or 🔀 Customer Number or Bar Code Label Correspondence address below (Insert Customer No. or Attach bar code label here) Joseph H. Smith Name 4410 Casa Madeira Lane Address Zip Code 95127 City San Jose State California 408-270-3089 Fax 408-270-4336 Country USA Telephone

Name (Print/Type)	Joseph H. Smith	Registration No. (Attorney/Agent)	30,328
Signature	asses Of Sun	Date	October 19, 2000

PTO/SB/17 (09-00)
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TOTAL AMOUNT OF PAYMENT

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## FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

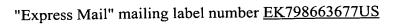
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Compaste if Known					
Application Number	To be assigned				
Filing Date	October 19, 2000				
First Named Inventor	David G. Boyers et al.				
Examiner Name	To be assigned				
Group Art Unit	To be assigned				
Attorney Docket No.	ز 101900				

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)			
The Commissioner is hereby authorized to charge	3. ADDITIONAL FEES			
indicated fees and credit any overpayment to:  Deposit	LargeEntity Small Entity Fee Fee Fee Fee Fee Description Fee Paid			
Account Number /D-/3/8	Code (\$) Code (\$)			
Deposit Account	105 130 205 65 Surcharge – late filing fee or oath			
Name Joseph H. Smith	127 50 227 25 Surcharge – late provisional filing fee or cover sheet.			
Charge any Additional Fee Required	139 130 139 130 Non-English specification			
Under 37 CFR 1.16 and 1.17  Applicant claims small entity status.	147 2520 147 2520 For filing a request for ex parte reexamination			
See 37 CFR 1.27	112 920* 112 920* Requesting publication of SIR prior to Examiner action			
2. ☑ Payment Enclosed: ☑ Check ☐ Credit card ☐ Money ☐ Other	113 1840* 113 1840* Requesting publication of SIR after Examiner action			
Order	115 110 215 55 Extension for reply within first month			
FEE CALCULATION  1. BASIC FILING FEE	116 390 216 195 Extension for reply within second month			
Large Entity Small Entity	117 890 217 445 Extension for reply within third month			
Fee Fee Fee Fee Description Fee Paid  Code (\$) Code (\$)	118 1390 218 695 Extension for reply within fourth month			
101 710 201 355 Utility filing fee 355	128 1890 228 945 Extension for reply within fifth month			
106 320 206 160 Design filing fee	119 310 219 155 Notice of Appeal			
107 490 207 245 Plant filing fee	120 310 220 155 Filing a brief in support of an appeal			
108 710 208 355 Reissue filing fee	121 270 221 135 Request for oral hearing			
	138 1510 138 1510 Petition to institute a public use proceeding			
114 150 214 75 Provisional filing fee	140 110 240 55 Petition to revive – unavoidable			
SUBTOTAL (1) (\$) 355	141 1240 241 620 Petition to revive – unintentional			
2. EXTRA CLAIM FEES	142 1240 242 620 Utility issue fee (or reissue)			
Fee from  Extra Claims below Fee Paid	143 440 243 220 Design issue fee			
Total Claims 119 -20**= 99 x 9 891	144 600 244 300 Plant issue fee			
Independent / 3" 40 × 40 × 03693(12 320 × 03693(12	122 130 122 130 Petitions to the Commissioner			
12.00000001 DAW: 101218 09693038 13.5	123 50 123 50 Petitions related to provisional applications			
**or number previously paid, if greater; For Reissues, see below	126 240 126 240 Submission of Information Disclosure Stmt			
Large Entity Small Entity Fee Fee Fee Fee Fee Description	581 40 581 40 Recording each patent assignment per property (times number of properties)			
Code (\$) Code (\$)	146 710 246 355 Filing a submission after final rejection (37 CFR 1.129(a))			
103 18 203 9 Claims in excess of 20 102 80 202 40 Independent claims in excess of 3	149 710 249 355 For each additional invention to be			
102 80 202 40 Independent claims in excess of 3	examined (37 CFR 1.129(b))			
109 80 209 40 ** Reissue independent claims	179 710 279 355 Request for Continued Examination (RCE)			
over original patent 110 18 210 9 ** Reissue claims in excess of 20	Other fee (specify)			
and over original patent	Other fee (specify)			
SUBTOTAL (2)	Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)			

SUBMITTED BY			Complete (if applicable)		
Name (Print/Type)	Joseph H. Smith	Registration No. (Attorney/Agent)	30,328	Telephone	408-270-3089
Signature	(bry A)	wit		Date	Oct. 19, 2000

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DATE OF DEPOSIT October 19, 2000

RE:

CASE <u>101900</u>

APPLICATION NO. \_ To be assigned

**FILED** 

October 19, 2000

METHOD AND APPARATUS FOR TREATING A SUBSTRATE WITH AN **SUBJECT** OZONE-SOLVENT SOLUTION

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Box Patent

Application, Washington, D.C. 20231.



"Express Mail" mailing label number <u>EU655805959US</u>

DATE OF DEPOSIT <u>November 25, 2002</u>

RE:

CASE 101900

INVENTOR DAVID BOYERS ET AL

APPLICATION NO. 09/693,012

FILED October 19, 2000

SUBJECT METHOD AND APPARATUS FOR TREATING A SUBSTRATE WITH AN OZONE-SOLVENT SOLUTION

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Joséph H. Smith